



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **Confirmation No. 9381**  
Tohru YOKOZAWA et al. : Docket No. 2003\_1395A  
Serial No. 10/686,598 : Group Art Unit 1621  
Filed October 17, 2003 : Examiner Not Yet Assigned

PROCESS FOR PRODUCTION OF OPTICALLY  
ACTIVE AMINO ALCOHOLS

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request  
consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional  
information identified below in paragraph 3. A legible copy of each reference listed on the form  
PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not  
provided for each reference previously cited by or submitted to the Patent Office in prior parent  
application Serial No. .

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-  
entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office  
Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**  
**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:

- a. ☐ a full or partial English language translation submitted herewith,

- b. ☒ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Tohru YOKOZAWA et al.

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March 2, 2004

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: March 2, 2004

ATTY DOCKET NO.  
2003\_1395ASERIAL NO.  
10/686,598APPLICANT  
Tohru YOKOZAWA et al.FILING DATE  
October 17, 2003GROUP  
1621

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,672,706	9/1997	Haight et al.	546	99	
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AJ	✓ 01/58843	8/2001	WO			Abstract
	AK	✓ 1 254 885	11/2002	EP			
	AL	✓ 11-189600	7/1999	JP			Corresponds to Ref AP
	AM						
	AN						

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO ✓	D. MA et al., "A Simple and Stereospecific Route to 2,6-Disubstituted 4-Hydroxypiperidines. Synthesis of Dendrobate Alkaloid (+)-241D and Formal Synthesis of (-)-Indolizidine 167B", Organic Letters, Vol. 2, No. 16, pp. 2503-2505, 2000.
	AP ✓	Database, Chemical Abstracts, T. IKARIYA et al., "Preparation of Ruthenium-Phosphine-Amine Complexes and Stereoselective Hydrogenation of Carbonyl Compounds to Optically Active Alcohols using the Complexes", Accession No. 131:87713 XP002265269.
	AQ	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.